

DORSEY & WHITNEY LLP

SUITE 400 SOUTH
1001 Pennsylvania Avenue, N.W.
Washington, D.C. 20004

FACSIMILE COVER SHEET
FAX (202) 442-3199

THE INFORMATION CONTAINED IN THIS FACSIMILE MESSAGE IS LEGALLY PRIVILEGED AND CONFIDENTIAL INFORMATION INTENDED SOLELY FOR THE USE OF THE PERSONS OR ENTITIES NAMED BELOW. IF YOU ARE NOT SUCH PERSONS OR ENTITIES, DO NOT READ THE MESSAGE BELOW. ANY DISTRIBUTION, DISSEMINATION OR REPRODUCTION OF THIS FACSIMILE MESSAGE IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS MESSAGE IN ERROR, PLEASE IMMEDIATELY CALL US COLLECT AT (202) 442-3000.

Date: September 9, 2002

Time: 3:53 PM

Total Number of Pages (including this cover sheet): 7

TO: Johnson Control Work Station

FAX #: 703-746-9195

FIRM NAME: U.S. Patent and Trademark Office LOCATION: Arlington, VA

TELEPHONE #:

RECEIVED

OCT 18 2002

FROM: Eddy Valverde, Patent Paralegal

Technology Center 2600

E-mail: valverde.eddy@dorseylaw.com

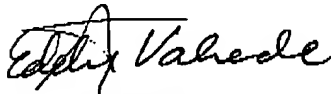
TELEPHONE NUMBER: 202-442-3623

COMMENTS: Request for Corrected Filing Receipt for App. No. 09/722,742

Dear Sir or Madam:

Enclosed please find a copy of a filing receipt in connection with the above-identified application number indicating errors on the continuing data field. Also enclosed is a copy of a Preliminary Amendment entered on the above-identified application on September 5, 2002 in order to correct/update the continuing data field. Accordingly, it is requested that the Office of Initial Patent Examination (OIPE) issue a corrected Filing Receipt reflecting the changes noted on the enclosed Filing Receipt.

Respectfully submitted,



Eddy Valverde

Originator's Signature

Original will be sent via (check one): ☐ Mail ☐ Messenger ☐ Air ☐ Courier ☒ Will not be sent

PLEASE CONTACT FACSIMILE OPERATOR _____ AT (202) 442-3000
IF TRANSMISSION IS INCOMPLETE OR CANNOT BE READ.

Reference # 384365-7



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/722,742	11/28/2000	2611	872	3960.D4	40	29	3

CONFIRMATION NO. 6312

REPLACEMENT FILING RECEIPT

OC000000008732204

Aldo Noto
Dorsey & Whitney
Suite 200
1330 Connecticut Avenue, N.W.
Washington, DC 20036

Date Mailed: 09/05/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

John S. Hendricks, Potomac, MD;

Domestic Priority data as claimed by applicant

01/27/1999

THIS APPLICATION IS A CON OF 09/237,825 01/27/1999
WHICH IS A DIV OF 08/336,247 11/07/1994 PAT 5,988,690
WHICH IS A CIP OF 07/991,074 12/09/1992
AND A CIP OF 08/160,194 12/02/1993 PAT 5,990,927

Foreign Applications -

If Required, Foreign Filing License Granted 04/03/2001

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

Title

Electronic book library/bookstore system

Preliminary Class**348**

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (i)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

384365-7(3960.D4)

Attorney Docket Number

RE:

ELECTRONIC BOOK LIBRARY/BOOKSTORE SYSTEMApplication No.: 09/722,742Filing date: November 28, 2000

Patent No.: _____

Issue date: _____

Applicant/Inventor John S. HENDRICKS

The following items/fees were received from Dorsey & Whitney, Washington, D.C., by the U.S. Patent & Trademark Office:

ITEMS

- | | |
|--|---|
| <input type="checkbox"/> PCT Request (5) Pages & PCT fee calculation sheet | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> New Prov. App (9 PP of Specification) & Attachments | <input type="checkbox"/> Appeal Brief (in triplicate) |
| <input type="checkbox"/> Informal Drawings (3) sheets | <input type="checkbox"/> Reply Brief (in triplicate) |
| <input type="checkbox"/> Power of Attorney (PCT Rule 90.4) | <input type="checkbox"/> Request for Oral Hearing |
| <input type="checkbox"/> Combined Declaration and Power of Attorney (COPY) | <input type="checkbox"/> Confirmation of Hearing Petition |
| <input type="checkbox"/> Response to Notice to File Missing Parts of Application | <input type="checkbox"/> Response |
| <input type="checkbox"/> Certificate of Correction | |

OTHER ITEMS

- | | |
|--|--|
| <input type="checkbox"/> Request for Certificate of Correction of Patent | <input type="checkbox"/> Response to Invitation to Correct Defects |
| <input type="checkbox"/> Supplemental Information Disclosure Statement | <input type="checkbox"/> Executed Declaration and Power of Atty. |
| <input checked="" type="checkbox"/> Preliminary Amendment along with attachments | <input type="checkbox"/> New app. transmittal letter (2 sheets) |

NO FEE REQUIRED

☐ Letter to Draftsman☐ Issue Fee Transmittal PTOL Form 35B☐ Issue Fee Transmittal Letter☐ Amendment Under 37 CFR § 1.312(a)☐ Assignment w/Cover Sheet☐ New U.S. Provisional Patent/Design Application (12 sheets)☐ National Stage Application☐ Translation of National Stage☐ Priority Document - CC ofApp. # Date☐ Combined Notice of Appeal and Pet. For Extension of Time☐ Petition/Request for EOT☐ Amendment/After final☐ Status Check Inquiry**DOCKETED****RECEIVED**

SEP 06 2002

DORSEY & WHITNEY LLP

☐ Notice of Appeal Fee☐ Filing fee☐ Surcharge fee☐ Additional Claim fees☐ Recordation/Indexing fee☐ IDS fee☐ Extension of Time Fee☐ **TOTAL FEES** =

Check No.: _____

RETURN DATE-STAMPED**BLUE SHEET TO:****WYLIE WILLIAMS/EL****TEL. (202) 442-3000**

Attorney Docket No.: 3960.D4**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: John S. HENDRICKS

Examiner: n/a

Serial No.: 09/722,742

Art Unit: 2611

Filed: November 28, 2000

For: ELECTRONIC BOOK LIBRARY/BOOKSTORE SYSTEM

Box Non-Fee Amendment
Commissioner of Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

Sir:

Prior to substantive examination, please amend the above-identified application as follows:

In the Specification:

Please replace the paragraph beginning at page 1, line 3, with the following rewritten paragraph:

--This application is a continuation of U.S. Application Serial Number 09/237,825, filed January 27, 1999, entitled ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM, which is a divisional of U.S. Application Serial Number 08/336,247, filed November 7, 1994, entitled ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM, which is a continuation-in-part of U.S. Application Serial Number 07/991,074, filed December 9, 1992, entitled REMOTE CONTROL FOR MENU DRIVEN SUBSCRIBER ACCESS TO TELEVISION PROGRAMMING and U.S. Application Serial Number 08/160,194, entitled ADVANCED SET-TOP TERMINAL FOR CABLE TELEVISION DELIVERY SYSTEMS, filed December 2, 1993.--

REMARKS

Related applications data has been amended to correct an editorial error.

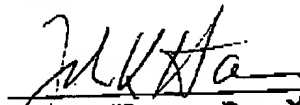
Application No.: 09/722,742

Attached hereto is a marked-up version of the changes made to the specification by the current amendment. The attached page is captioned "Version with markings to show changes made."

Applicant respectfully requests substantive examination for this application in due course.

Respectfully submitted,

Date: September 5, 2002



John K. Harrop, Reg. No. 41,817
DORSEY & WHITNEY LLP
1001 Pennsylvania Avenue, N.W.
Suite 400 South
Washington, D.C. 20004
Tel. (202) 442-3000
Fax (202) 442-3199

Application No.: 09/722,742

VERSION WITH MARKINGS TO SHOW CHANGES MADE

In the specification:

Paragraph beginning at line 3 of page 1 has been amended as follows:

This application is a continuation of U.S. Application Serial Number 09/237,825, filed January 27, 1999, entitled ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM, which is a divisional of U.S. Application Serial Number 08/336,247, filed November 7, 1994, entitled ELECTRONIC BOOK SELECTION AND DELIVERY SYSTEM, which is a continuation-in-part of U.S. Application Serial Number 07/991,074, filed December 9, 1992, entitled REMOTE CONTROL FOR MENU DRIVEN SUBSCRIBER ACCESS TO TELEVISION PROGRAMMING and U.S. Application Serial Number 08/160,194, entitled ADVANCED SET-TOP TERMINAL FOR CABLE TELEVISION DELIVERY SYSTEMS, filed December 2 [9], 1993.



Commissioner for Patents
Washington, DC 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/722,742	11/28/2000	2611	872	3960.D4	40	29	3

CONFIRMATION NO. 6312

CORRECTED FILING RECEIPT



OC000000008955928

Aldo Noto
Dorsey & Whitney
Suite 200
1330 Connecticut Avenue, N.W.
Washington, DC 20036

Date Mailed: 10/16/2002

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

John S. Hendricks, Potomac, MD;

Domestic Priority data as claimed by applicant

This application is a CON of 09/237,825 01/27/1999
which is a DIV of 08/336,247 11/07/1994 PAT 5,986,690
which is a CIP of 07/991,074 12/09/1992
and is a CIP of 08/160,194 12/02/1993 PAT 5,990,927

Foreign Applications

If Required, Foreign Filing License Granted 04/03/2001

Projected Publication Date: None, application is not eligible for pre-grant publication

Non-Publication Request: No

Early Publication Request: No

Title

Electronic book library/bookstore system

Preliminary Class

348

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).